



RCA 89727
Customer # 24498

THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Shu Lin, et al.
Ser. No.: 09/378,671
Filed: August 20, 1999
For: USER INTERFACE AND PROCESSING SYSTEM FOR
DIGITAL VIDEO, AUDIO AND ANCILLARY DATA
Examiner: Tran, Thai Q.
Art Unit: 2616

INFORMATION DISCLOSURE STATEMENT

- ☐ 1 Pursuant to 37 CFR 1.97(b)
[within 3 months of filing or prior to 1st Office Action]
☒ 2 Certification Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
☐ 3 Fee Payment Pursuant to 37 CFR 1.97(c)
[before Final Office Action or Allowance]
☐ 4 Petition, Certification & Petition Fee Payment Pursuant to 37 CFR 1.97(d)
[before issue fee payment]

Hon. Commissioner for Patents
Alexandria, VA 22313

Sir:

The following are submitted in the above-identified application in compliance with 37 CFR 1.97 & 1.98:

- ☒ 5 A list of documents on form PTO-1449 together with copies of each identified document.

This paper is submitted in accordance with:

- ☐ 6 37 CFR 1.97(b): [within 3 months of filing or prior to 1st Office Action]
☒ 7 37 CFR 1.97(c): [before Final Office Action or Allowance, whichever is earlier]; and
☒ 8 The required certification made in item 11 below; or
☐ 9 The \$180.00 fee specified in 37 CFR §1.17(p) for submission of this Information Disclosure Statement is authorized in item 14 below.
☐ 10 37 CFR § 1.97(d): [before issue fee payment]; and
(a) This is a petition for consideration of the subject Information Disclosure Statement. The petition fee (\$130.00) required by 37 CFR 1.17(i)(1) is authorized in item 14 below. (Direct this letter to "Attention PETITIONS EXAMINER" and if applicable include batch locator information: e.g., "Allowed Files, Batch _____, Date of Allowance _____"), and
(b) The required Certification is stated in item 11 below.

☒ 11 Certification

☐ 12 Each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement; or

☒ 13 No item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the person signing this document after making reasonable inquiry, was known to any individual designated in 37 CFR 1.56(c) more than three (3) months prior to the filing of this Statement.

☒ 14 Please charge any applicable fees associated with the submittal of this Information Disclosure Statement to Deposit Account No. 07-0832. An original and one (1) copy of this document is enclosed.

Respectfully Submitted,

Shu Lin
Donald Henry Willis
Mark Alan Schultz

BY: 

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Date: March 3, 2006

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Certificate of Mailing under 37 CFR 1.8

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in a postage paid envelope addressed to: Commissioner of Patents and Trademarks, Alexandria, VA 22313 on the date indicated below.

Date: 3/3/06 Signature 

Substitute for form 1449A/PTO

(Use as many sheets as necessary)

Sheet	1	of	1
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Application Number	09/378,671
Filing Date	August 20, 1999
First Named Inventor	Shu Lin, et al.
Art Unit	2616
Examiner Name	Tran, Thai Q
Attorney Docket Number	RCA 89727

[illegible]

FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. ¹	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Country Code ³ - Number ⁴ - Kind Code ⁵ (if known)				
	AA	EP 0 797 204	11-14- 2001	Pioneer Electronic Corporation		
	AB	EP 0 942 426	09-15- 1999	Nippon Columbia Co., Ltd.		
	AC	EP 0 738 078	08-18- 1999	Kabushiki Kaisha Toshiba		

Date Considered

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS OFFICE.